Form PTO-1449

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

ATTY DOCKET NO.	APPLICATION NO.
0104-0334P	New
APPLICANT	
Ulf Dahl	
FILING DATE	**GROUP**
April 23, 2001	2132

JC986 U.S. PTO 09/840188 04/24/01

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JC	5 6 9 9 4 2 8	12/97	McDonnal et al			
	5 9 1 5 0 2 5	6/99	Taguchi et al			
	5 7 6 8 2 7 6	6/98	Diachina et al			
	5 9 1 5 0 1 7	6/99	Sung et al			
	5 6 5 9 6 1 4	8/97	Bailey, III			
	5 6 6 1 7 9 9	8/97	Nagel et al			
	5 9 4 0 5 0 7	8/99	Cane et al			
	5 9 1 7 9 1 5	6/99	Hirose			
	5 7 5 7 9 0 8	5/98	Cooper et al			
	5 4 5 9 8 6 0	10/95	Burnett et al			
	5 3 6 9 7 0 2	1994-11-29	Shanton			
	5 6 8 0 4 5 2	1997-10-21	Shanton			
	5 7 1 7 7 5 5	1998-02-10	Shanton			
	5 8 9 8 7 8 1	1999-04-27	Shanton			
	5 9 3 3 4 9 8	Aug. 1995	Schneck et al.	705	54	
JC	6 0 9 8 1 7 2	Aug. 2000	Coss et al.	713	201	

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES	TRANSLATION NO
JC	95 1 5 6 2 8	1995-06-08	WPO				
JC	93 1 1 6 1 9	1993-06-10	WPO				
JC	~~03 3 7 6 9 3 6~~	~~Dec 1991~~	~~Japan~~				
JC	~~07 2 1 9 9 0 0~~	~~Aug 1995~~	~~Japan~~				

OTHER DOCUMENTS (Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.

JC	Hooper et al., "Related databases: An Accountant's primer", Management Accounting, October 1996, v78, n4, pages 48-53.

EXAMINER	DATE CONSIDERED
JC	11/10/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Form PTO-1449

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.
0104-0334P	09/840,188
APPLICANT: Ulf DAHL	
FILING DATE: April 24, 2001	GROUP: 2132

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	Kind	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JC	US 5 271 007		1993-12-14	Kurahashi et al.			
	US 5 283 830		1994-02-01	Hinsley et al.			
	US 5 504 814		1996-04-02	Miyahara			
	US 5 751 949		1998-05-12	Thomson et al.			
	US 4 956 769		1990-09-11	Smith			
JC	US 5 265 221		1993-11-23	Miller			
	US						
	US						
	US						
	US						

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FOREIGN PATENT DOCUMENTS

	Office	DOCUMENT NUMBER	Kind	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES	TRANSLATION NO
JC	WO	95/22792		1995-08-24	WIPO			X	
	GB	2 242 295	A	1991-09-25	UK			X	
	GB	2 248 951	A	1992-04-22	UK			X	
JC	RU	2 022 343	C1	1994-10-30	RU			X	

OTHER DOCUMENTS (Include Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.

JC	Kelter, U.: Discretionary access controls in a high-performance object magagement system; p.288-299in: Proc. 1991 IEEE Symposium on Research in Security and PRivacy, Oakland, California, 20-22.05.1991; IEEE COmputer Society Press; 1991/05

EXAMINER: JC DATE CONSIDERED: 11/10/04

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17299-008002	Application No. 09/840,188
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Ulf Dahl	
		Filing Date April 24, 2001	Group Art Unit 2132

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JC	AA	5,438,508	08/01/95	Wyman			
	AB	5,446,903	08/29/95	Abraham et al.			
	AC	5,493,668	02/20/96	Elko et al.			
	AD	6,321,201	11/20/01	Dahl			
	AE	5,375,169	12/20/94	Seheidt, et al.			
	AF	4,218,582	8/19/80	Hellman, et al.			
	AG	4,405,829	9/20/83	Rivest et al.			
	AH	4,417,338	11/22/83	Davida			
	AI	4,424,414	1/3/84	Hellman, et al.			
	AJ	4,649,233	3/10/87	Bass et al.			
	AK	4,850,017	7/18/89	Matyas, Jr., et al.			
	AL	4,876,716	10/24/89	Okamoto			
	AM	4,955,082	9/4/90	Hattori, et al.			
	AN	5,136,642	8/4/92	Kawamura, et al.			
	AO	5,150,411	9/22/92	Maurer			
JC	AP	5,606,610	2/25/97	Johansson			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No
JC	AQ	RU 2067313	09/27/96	Russian Federation			abstract	
JC	AR	507-138	4/6/98	Sweden			abstract	
JC	AS	WO 98/17039	4/23/98	WIPO			n/a	
JC	AT	EP 1 211 589 A2	6/5/02	European Patent Office			n/a	
JC	AU	EP 1 207 462 A2	5/22/02	European Patent Office			n/a	
JC	AV	EP 1 209 550 A2	5/29/02	European Patent Office			n/a	
JC	AW	EP 1 207 443 A2	5/22/02	European Patent Office			n/a	

Examiner Signature	Date Considered
JC	10/20/04

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Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes	Translation No
JC	AX	WO 95/15628	6/8/95	WIPO			n/a	
JC	AY	WO 97/49211	12/24/97	WIPO			n/a	
JC	AZ	WO 01/35226 A1	5/17/01	WIPO			n/a	

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
JC	BA	Charles P. Pfleeger. *Security in Computing*. Englewood Cliffs, New Jersey: P T R Prentice-Hall, 1989 (especially ch. 8, "Data Base Security.").
JC	BB	Patent Office of the Russian Federation, Search Report, Application No. 99100700, June 18, 1997.
JC	BC	David K. Gifford, "Cryptographic Sealing for Information Secrecy and Authentication." *Communications of the ACM*, vol. 25, no. 4 (April 1982), pp. 274-286.
JC	BD	R.W. Conway, W.L. Maxwell, and H.L. Morgan, "On the Implementation of Security Measures in Information Systems." *Communications of the ACM*, vol. 15, no. 4 (April 1972), pp. 211-220.
JC	BE	Masaaki Mizuno and Mitchell L. Neilsen, "A Secure Quorum Protocol." *Proceedings of the 14th National Computer Security Conference* (October 1-4, 1991), pp. 514-523.
JC	BF	E. John Sebes and Fichard J. Feiertag, "Trusted Distributed Computing: Using Untrusted Network Software." *Proceedings of the 14th National Computer Security Conference* (October 1-4, 1991), pp. 608-618.
JC	BG	Vijay Varadharajan, "A Security Reference Model for a Distributed Object System and its Application." *Proceedings of the 15th National Computer Security Conference* (October 13-16, 1992), pp. 593-619.
JC	BH	George I. Davida and Y. Yeh, "Cryptographic Relational Algebra." *Proceedings of the 1982 Symposium on Security and Privacy* (April 26-28, 1982), pp. 111-116.
JC	BI	Dorothy E. Denning, "Cryptographic Checksums for Multilevel Database Security." *Proceedings of the 1984 Symposium on Security and Privacy* (April 29-May 2, 1984), pp. 52-61.
JC	BJ	S.G. Akl and P.D. Taylor, "Cryptographic Solution to a Multilevel Security Problem," in D. Chaum, L. Rivest, and A. T. Sherman (eds), *Advances in Cryptology Proceedins of CRYPTO '82*, New York: Plenum Press, August 1982, pp. 237-250.
JC	BK	George I. Davida, David L. Wells, and John B. Kam, "A Database Encryption System With Subkeys." *ACM Transactions on Database Systems*, vol. 6, no. 2 (June, 1982), p. 5.
JC	BL	D. Woelk and W. Kim, "Multimedia Information Management in an Object-Oriented Database System." *Proceedings of the 13th International Conference on Very Large Databases*, Brighton, England, 1987.
JC	BM	D. G. Abraham et al., "Transaction Security System." *IBM Systems Journal*, vol. 30, no. 2, 1991, pp. 206-229.
JC	BN	D. B. Johnson et al., "Common Cryptographic Architecture Cryptographic Application Programming Interface." *IBM Systems Journal*, vol. 30, no. 2, 1991, pp. 130-150.

Examiner Signature JC	Date Considered 11/10/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Ulf Dahl	
		Filing Date April 24, 2001	Group Art Unit 2132

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	BO	David K. Hsiao, et al., "Database Access Control in the Presence of Context Dependent Protection Requirements." *IEEE Transactions on Software Engineering*, vol. SE-5, No. 4, July, 1979. pp. 349-358.
	BP	Matthew Morgenstern, "Controlling Logical Inference in Multilevel Database Systems." *Proceedings of the 1988 Symposium on Security and Privacy*, The Computer Society of the IEEE, April 18-21, 1988, Oakland, California, pp, 245-255.
	BQ	Patent prosecution history, PCT Patent Application No. PCT/SE97/01644.
	BR	Patent prosecution history, Swedish Patent Application No. 9603753.
	BS	Application Security, Inc., *DbEncrypt™ for Oracle User Guide.*
	BT	Patent prosecution history, European Patent Office Patent Application No. 97 928 615.0 (filed 6/18/97).
	BU	Patent prosecution history, United States Patent Application No. 09/027585, United States Patent No. 6,321,201 (filed 2/23/98).

Examiner Signature	Date Considered 11/10/04

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Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Ulf Dahl	
(37 CFR §1.98(b))		Filing Date April 24, 2001	Group Art Unit 2132

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AA	P.A. Dwyer, et al., "Query Processing in LDV: A Secure Database System," *Fourth Aerospace Computer Security Applications Conference*, December 12-16, 1988, IEEE Computer Society Press, pp. 118-124.
	AB	Cristi Garvey, et al., "ASD Views," Proceedings 1988 Symposium on Security and Privacy, April 18-21, 1988, pp. 85-95.
	AC	Richard D. Graubart, et al., "Design Overview for Retrofitting Integrity-Lock Architecture onto a Commercial DBMS," Proceedings of the 1985 Symposium on Security and Privacy, April 22-24, 1985, pp. 147-159.
	AD	Patricia A. Rougeau, et al., "The Sybase Secure Dataserver: A Solution to the Multilevel Secure DBMS Problem, 10th National Bureau of Standards/National Computer Security Center, September 21-24, 1987, pp. 211-215.
	AE	Billy G. Claybrook, "Using Views in Multilevel Secure Database Management System, Proceedings of the 1983 Symposium on Security and Privacy," April 25-27, 1983, pp. 4-17.
	AF	Dorothy E. Denning, et al., "Views for Multilevel Database Security," IEEE Transactions on Software Engineering, February 1987, Vol. SE-13:2, pp. 129-140.
	AG	Catherine Meadows, "Extending the Brewer-Nash Model to a Multilevel Context," Proceedings 1990 IEEE Computer Society Symposium on Research in Security and Privacy, May 7-9, 1990, pp. 95-102.
	AH	Dorothy E. Denning, "Commutative Filters for Reducing Inference Threats in Multilevel Database Systems," "Proceedings of the 1985 Symposium on Security and Privacy," April 22-24, 1985, pp. 134-146.
	AI	Elisa Bertino, "Data Hiding Security in Object-Oriented Databases," Eighth International Conference on Data Engineering, February 2-3, 1992, pp. 338-347.
	AJ	William T. Maimone, et al., "Single-Level Multiversion Schedulers for Multilevel Secure Database Systems," 1990 IEEE, pp. 137-147.
	AK	P.C. Yeh, et al., "ESA/390 Integrated Cryptographic Facility: An Overview," IBM Systems Journal, Vol. 30:2, 1991, pp. 193-205.
	AL	IBM, "Application Programming and SQL Guide," IBM Database 2 Version 2, Release 3, March 1992, pp. 30-33, 48, 82, 102, 106, 286, 529.
	AM	Stephen L. Montgomery, "Relational Database Design and Implementation Using DB2", 1990, pp. 10-11.
	AN	Bruce L. Larson, "The Database Experts' Guide to Database 2," McGraw Hill, 1988, p. 23 & App. B.
	AO	Deborah Downs, et al., A Kernel Design for a Secure Data Base Management System," Proceedings Very Large Data Bases, October 6-8, 1977, pp. 507-514.
	AP	Gary W. Smith, "Multilevel Secure Database Design: A Practical Application," IEEE, 1990, pp. 314-321.
	AQ	Thomas H. Hinke, " The Trusted Server Approach to Multilevel Security," IEEE, 1990, pp. 335-341
	AR	Li Gong, "A Secure Identity-Based Capability System," University of Cambridge Computer Laboratory, England, January 1989, pp. 1-16
	AS	Sushil Jajodia, et al., "Integrating an Object-Oriented Data Model with Multilevel Security," IEEE, 1990, pp 76-85.

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OIPE JC116
OCT 21 2004
PATENT & TRADEMARK OFFICE

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Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Ulf Dahl	
		Filing Date April 24, 2001	Group Art Unit 2132

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AT	Dorothy E. Denning, "Field Encryption and Authentication," Proceedings of Crypto 83, Advances in Cryptology, 1983, pp. 231-247.
	AU	C. C. Chang, "An Information Protection Scheme Based upon Number Theory," The Computer Journal, Vol. 30:3, 1987, pp. 249-253.
	AV	Rafial Ahad, et al., "Supporting Access Control in an Object-Oriented Database Language," Advances in Database Technology EDBT 1992, pp. 184-200.
	AW	Ravinderpal S. Sandhu, "Cryptographic Implementation of a Tree Hierarchy for Access Control," Information Processing Letters, Vol. 27:2, February 29, 1988, pp. 95-98.
	AX	Lein Harn, et al., "A Cryptographic Key Generation Scheme for Multilevel Data Security," Computers & Security, Vol. 9:6, October 1990, pp. 539-546.
	AY	Gerald C. Chick, et al., "Flexible Access Control with Master Keys," Advances in Cryptology – CRYPTO, 1989, pp. 316-322.
	AZ	Shirley Eichenwald, "Information Technologies Physician-Hospital Networks," Journal of AHIMA, Vol. 63:3, March1992, pp. 50-51.
	BA	E. John Sebes, et al., "Trusted Distributed Computing: Using Untrusted Network Software," 14th National Computer Security Conference, October 1-4, 1991, pp. 608-618
	BB	IBM, "DB2 for OS/390 V5 Administration Guide," *available at* http://publibz.boulder.ibm.com/cgi-bin/bookmgr_OS390/BOOKS/DSNAG0F6/CONTENTS?SHELF=&DT=2000042016534, §§ B.2, B.3.2, B.3.4, B.3.3, B.7.4, B.7.

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